

# Kentucky Emergency Management Planning Guide 4 2015

**How to write Incident Specific and  
Support Plans using the Active  
Planning Process**

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### Introduction

This guide is part 4 of a 5 part series of Planning Guides developed by KYEM to assist planners across the Commonwealth with their emergency planning needs. This Guidebook provides information on how to develop Jurisdiction Incident Specific Plans (ISP) using the Active Planning process. The Guide first goes through the Active Planning Process and then explains the development of the ISP.

The other Guides in this series are:

- Kentucky Emergency Management Planning Guide 1 (2015) *The Basic Guide to Developing Emergency Operations Plans*
- Kentucky Emergency Management Planning Guide 2 (2015) *How to the Basic Plan*
- Kentucky Emergency Management Planning Guide 3 (2015) *How to Emergency Support Functions*
- Kentucky Emergency Management Planning Guide 5 (2015) *The Emergency Resource List*

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### Active Planning Methodology

#### What is Active Planning?

Active Planning is a methodology that deliberately involves First Responders, Citizens, Private Sector and Political leaders within the Jurisdiction in a process organized to develop operational plans to assist in managing an event or incident. The Active Planning methodology uses the Basic Plan and the ESFs and moves them from the concept of how we operate to the operational objectives and mission critical tasks used to implement them. There are two types of plans discussed in this guide: Incident Specific Plans (ISP) and Support Plans. ISPs are plans focused around a specific large-scale incident or events. Support Plans are plans focused on small-scale complex activities inside of larger events or incidents.

#### The Active Planning Development Process

The Active Planning Development Process takes incidents and defines them through a set of specific action phases, Readiness, Response, Stabilization and Sustainment and Recovery. Each of these phases is described by what “success” looks like for that phase, what objectives must be achieved for success to occur within the phase, what the primary tasks are that support each of the objectives within that phase and finally what resources are assigned to each task to ensure its successful accomplishment in support of the objective and phase.

There is a deliberate process, and should be viewed as an opportunity to walk through the potential disaster and identify where your Jurisdiction needs to ask for help or where updates in personnel, equipment and or systems would better prepare you for the worst disasters and incidents most likely to occur within your Jurisdiction.

#### Active Planning Phases

The Active Planning Phases are listed below with a short description:

**Readiness Phase.** The Readiness Phase deals with those actions that must occur from the point at which reasonable warning has been given of the possibility or immanent occurrence of an incident.

**Response Phase.** The Response Phase deals with those activities that must occur from the point at which an event or incident has occurred and extend to the end of “life saving activities” and the preparatory activities necessary to stabilize the disaster and provide sustainment Jurisdiction sustainment activities.

**Stabilization & Sustainment Phase.** The Stabilization & Sustainment Phase deals with those activities that must occur in order to stabilize operations within the Jurisdiction and to provide for the intermediate and long-term support to the disaster population.

**Recovery Phase.** The Recovery Phase deals with those activities that must occur to provide for the recovery of a Jurisdiction and its development of a plan to build towards the new normal.

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The success or failure of a Phase is measured by its End State.

### End States

End States are statements that describe what success should look like at the end of each phase. These statements build realistic broad-based goals that can be achieved by operations to move from one phase to another. The End States drive the development of objectives and tasks so that the End State can be achieved.

### Baseline Capabilities

Within each phase there has been developed a set of Baseline Capabilities. These are the skill sets needed to successfully prepare for, respond to, stabilize, and recover from an incident. The Baseline Capabilities used in Active Planning have been derived from the Homeland Security Target Capabilities List and the National Preparedness Goal Core Capabilities. Each capability has a recognizable set of objectives, supported by specific tasks that must be accomplished for the phase to be successful.

### Baseline Capabilities by Phase

#### Readiness Phase

1. Provide Warning and Notification

#### Response Phase

1. Establish Command and Control
2. Establish Adequate Communications
3. Accomplish Rapid Damage and Situational Assessment
4. Provide for Life Saving and Emergency Sheltering
5. Achieve the Ability to Manage and Support External Assistance



### **Stabilization & Sustainment Phase**

1. Establish General Security
2. Provide for Basic Community Medical Needs
3. Provide for Minimum Lifeline Infrastructures
4. Re-establish and Maintain Community Wide Emergency Response Capability
5. Activate Community Long Term Recovery Capability

### **Recovery Phase**

1. Establish Recovery Management
2. Restoration of Infrastructure and Government Services
3. Establish Management for the Reconstruction of Housing
4. Establish Management for Reconstruction of Businesses and Community's Economic Revivification

### **Span of Control in Active Planning**

Key concepts like span of control are very much a part of the Active Planning Process. This concept is applied in two places: development of Objectives and Tasks to support Capabilities, and in the application of applying managers to objectives and agencies within objectives.

Below are the guidelines for Objectives and Task development span of control:

**Capabilities** – should be able to be accomplished within 5 to 7 Objectives

**Objectives** – should be able to be accomplished within 3 to 5 tasks

Below are guidelines for assigning Managers and Agencies to Objectives and Tasks:

**Objective Managers** – should only be assigned only 5 to 7 objectives to manage per phase.

**Tasked Agencies** – should be limited to 3 to 5 entities per Task



### Developing Objectives

Objectives are operational targets, supported by a set of tasks. Objectives should be clear, high-level assignments like “Alert and Notify EOC Personnel”. The Objective should be related directly to a Capability like “Establish Command & Control”. The Objective is assigned to an ESF within the Jurisdiction EOC to manage the tasks associated with that objective’s accomplishment. The manager of an objective is always an ESF Coordinator.

### Developing Tasks

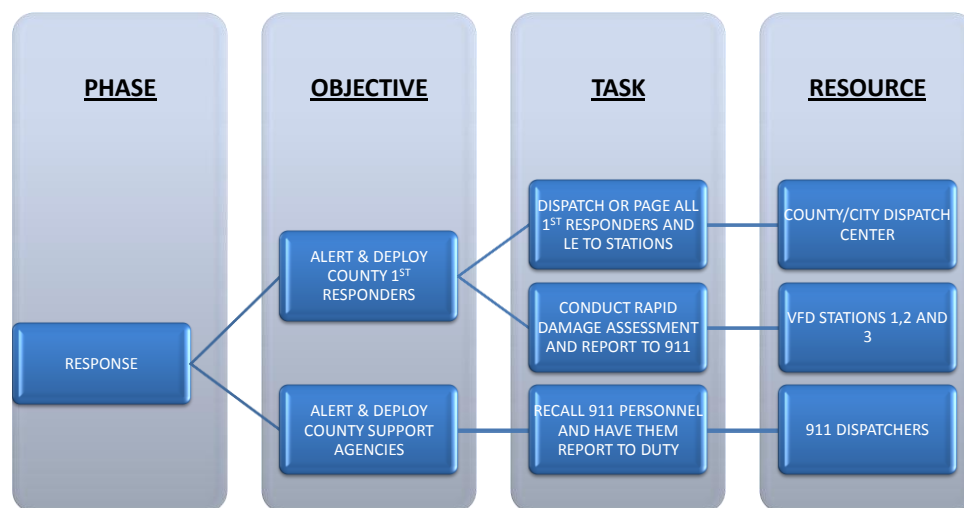
Tasks are mission essential actions necessary to accomplish an objective. Tasks direct the initiation of a set of tactical level actions necessary to achieve or support the accomplishment of an objective. An example of a task is “Initiate call down list for Jurisdiction EOC”.

### Implementing Instructions

Unlike the Basic Plan or the ESFs, ISPs and Support Plans developed with the Active Planning Methodology, must be backed with instructional elements like SOP/Gs, Job Aids, and/or checklists to focus efforts for the effective completion of tasks and objective.

Figure 13: Example Active Planning Matrix

### Response Objective - Task - Resource



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### Incident Specific Plans (ISPs)

#### ISP Requirements

1. All counties will have at least one major disaster ISP.
2. All ISPs, unless otherwise directed by program or grant requirements, must be written using the Active Planning Methodology.
3. Counties must completion of conversion of their EOP to the ESF format before they will be eligible for concurrence or state recognition of an ISP, excluding Tab-Q Plans.
4. Tab-Q Plans are not to be considered as an ISP. Tab-Q Plans are “Site Specific” plans on how the facility will respond to an event on their property. An ISP can support a Tab-Q, on how will the Jurisdiction respond when the hazardous product starts to leave the property. Potentially causing or actually causing harm to people, property and/or the environment.
5. ISPs must be signed by all parties who have been tasked with mission as part of the plan.

#### Criteria for Requesting an ISP Sponsored Plan Workshop

1. A Jurisdiction must have completed the conversion to the ESF format.
2. Jurisdiction should contact the Jurisdiction Planning Program Manager for approval and to set-up Active Planning Workshop.
3. A Jurisdiction must hold a facilitated Active Planning Workshop for their first Incident Specific Plan.

#### Requirements for ISP Concurrence

1. Incident Specific Plan must address Baseline Capabilities.
2. Incident Specific Plan must have signatories for all parties identified with roles in the Incident Specific Plan

#### Exceptions to Requirements to ISP Requirements

Plans with specific programmatic or legal format requirements previously defined in law or regulation (Example: Tab-Q-7 Plan).

### Support Plans

#### Support Plan Requirements

1. At a minimum all counties should develop and maintain the following disaster operations plans: Shelter Operations, POD Operations, Evacuation Operations, Debris Removal Operations, and Mass Casualty Operations.
2. All Support Plans unless otherwise directed by program or grant requirements, must be written using the Active Planning Methodology.
3. Other Support Plans such as Pandemic and Strategic National Stockpile (SNS) are encouraged to be included in the EOP as a Support Plan.
4. Counties must have completed their conversion of their EOP to the ESF format and completed the current Calendar Year ISP before they will be eligible for KYEM review of a Support Plan required by KYEM.
5. Support Plans must be signed by all parties who have been tasked with a mission as part of the plan.

#### Requirements for Incident Specific Plan Concurrence

Incident Specific Plans must have signatories for all parties identified with roles within these plans.

#### Exceptions to Requirements to Incident Specific Plan Requirements

Plans with programmatic or legal format requirements previously defined in law or regulation. Example: Strategic National Stockpile (SNS)

#### Incident Action Plan (IAP)

The incident action plan establishes the overall incident objectives, strategies and tactics for the situation or event and is used for one operational period.

When would an incident action plan be written?

Before an incident happened - it's a preparatory course of action in the event of a set of circumstances. For example – Incident Specific plan.

However, as a situation or event occurs, the IAP will still establish the first set of objectives and strategies. When the complexity of the situation becomes compounded, larger and time consuming. It will be necessary for an IAP to be developed for the next operational period. The use of the Planning “P” is a useful tool to assist in developing an IAP.

## Operational Planning Process

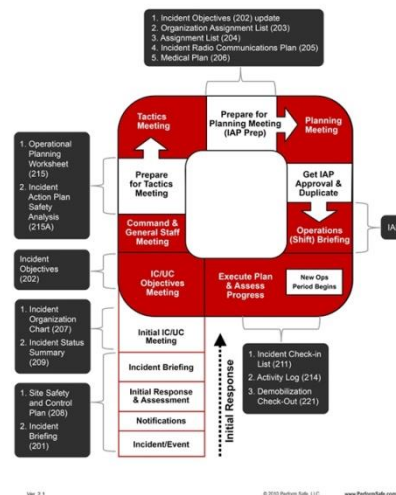
### The Need for Planning

Effective planning is the foundation for incident management. The NIMS planning process will be outlined in this chapter. The IC/UC and General Staff should be familiar with and participate with the planning process. The planning process should include: current information that accurately describes the incident situation and resource status; predictions of the probable course of events; alternative strategies to attain critical incident objectives; and an accurate, realistic Incident Action Plan for the next operational period.

### The Planning “P”

There are five primary phases of the Planning “P” that must be followed, in sequence, thus insuring a comprehensive Incident Action Plan (IAP):

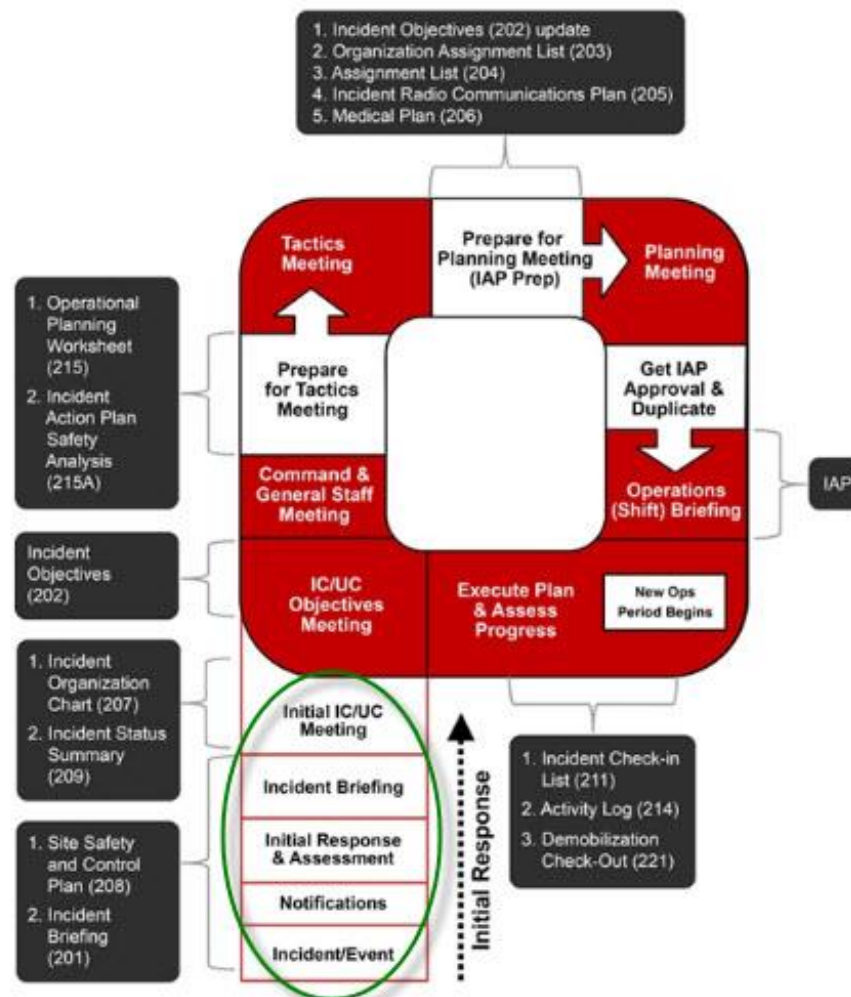
1. Understand the Situation,
2. Establish Incident Objectives and Strategies,
3. Develop the Plan
4. Prepare to Disseminate the Plan,
5. Evaluate and Revise the Plan, as needed.



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The IAP must provide a clear strategic direction and include a comprehensive listing of the tactical objectives, resources, reserves, and support needed to accomplish mission incident objectives. The IAP will state in a sequence of actions of a coordinated effort for achieving multiple incident objectives. The IAP is based upon the best situational awareness and information available at the time of the planning meeting. The Planning Meeting should not be delayed while waiting on future information.

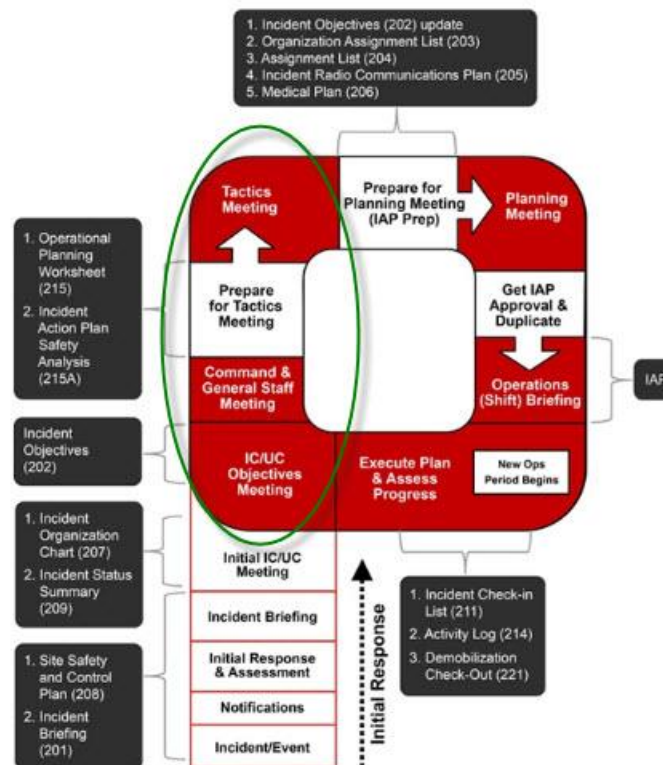
### First Phase



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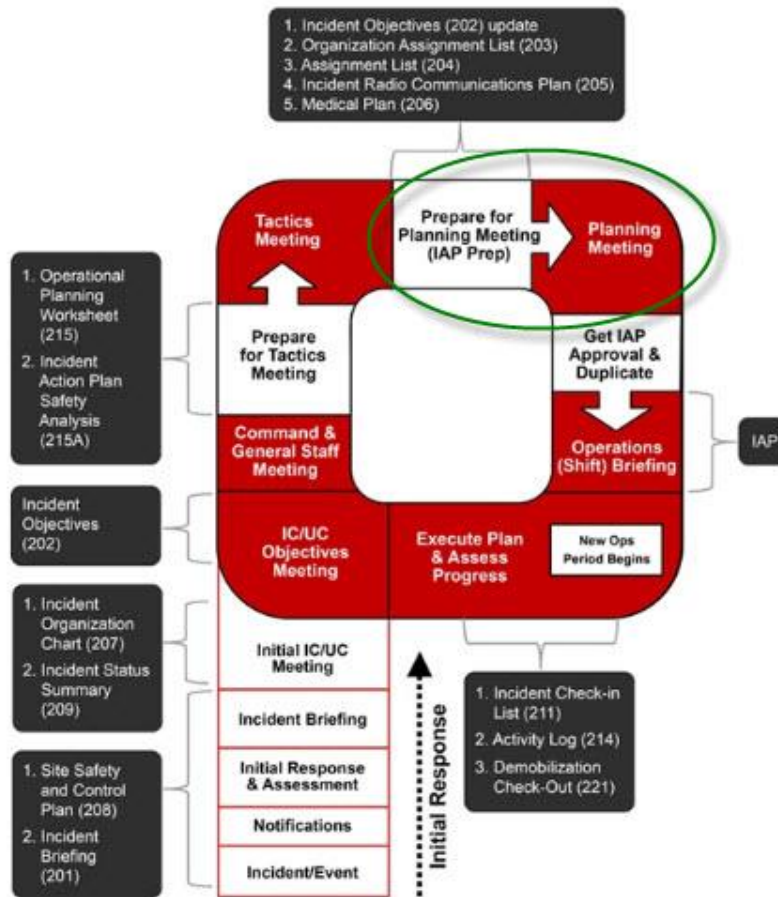
The first phase includes gathering, recording, analyzing and assessing the situation. Determine the resources on hand and what resources can you obtain through mutual aid with surrounding counties. This information will be able to assess the magnitude, complexity and the potential impact on the incident.

### Second Phase



The second phase includes formulating and prioritizing measurable incident objectives and identifying an appropriate strategy. Reasonable alternative plans and strategies are identified, analyzed and assessed.

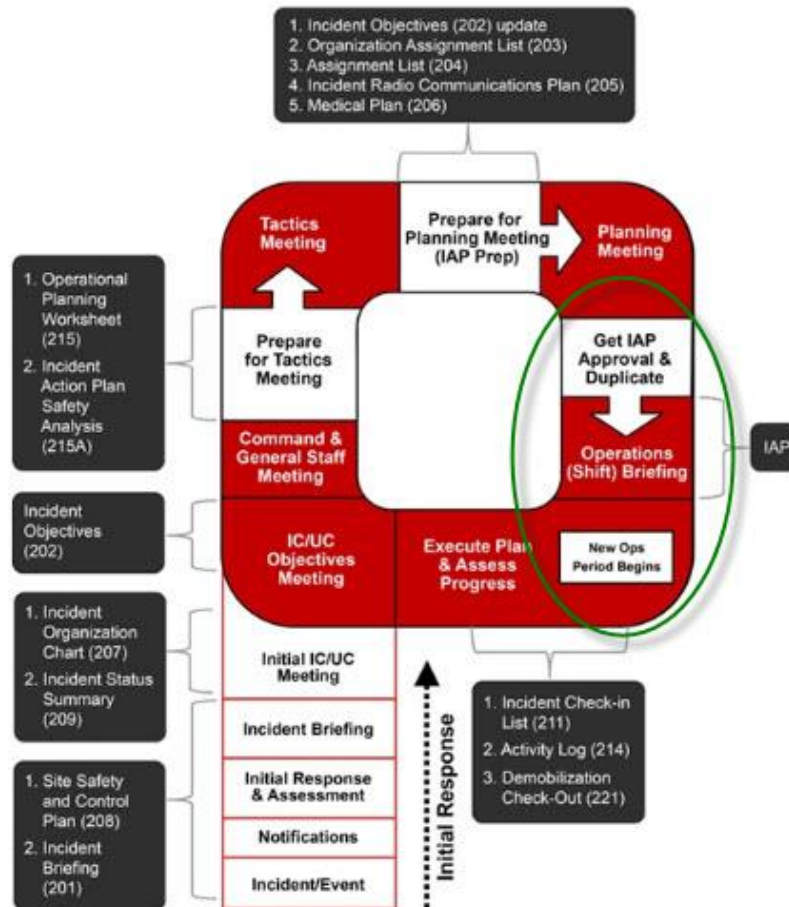
### Third Phase



The third phase involves determining the tactical direction and the specific resources, reserves and support identified to accomplish the mission for that operational period that is being planned.

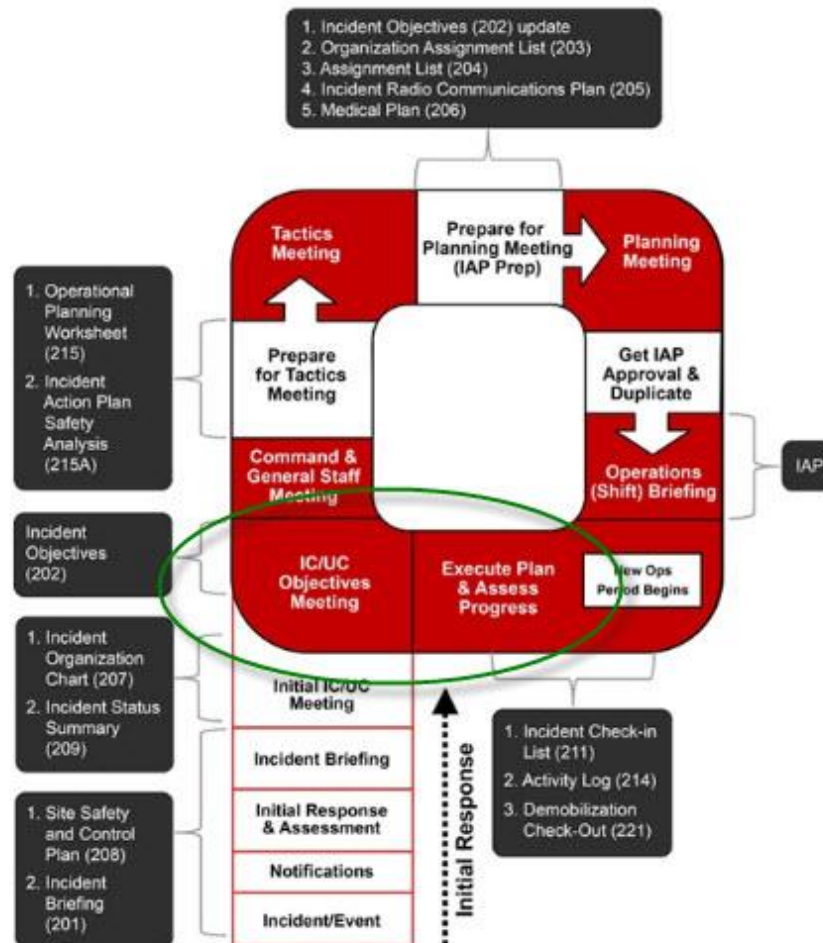


### Fourth Phase



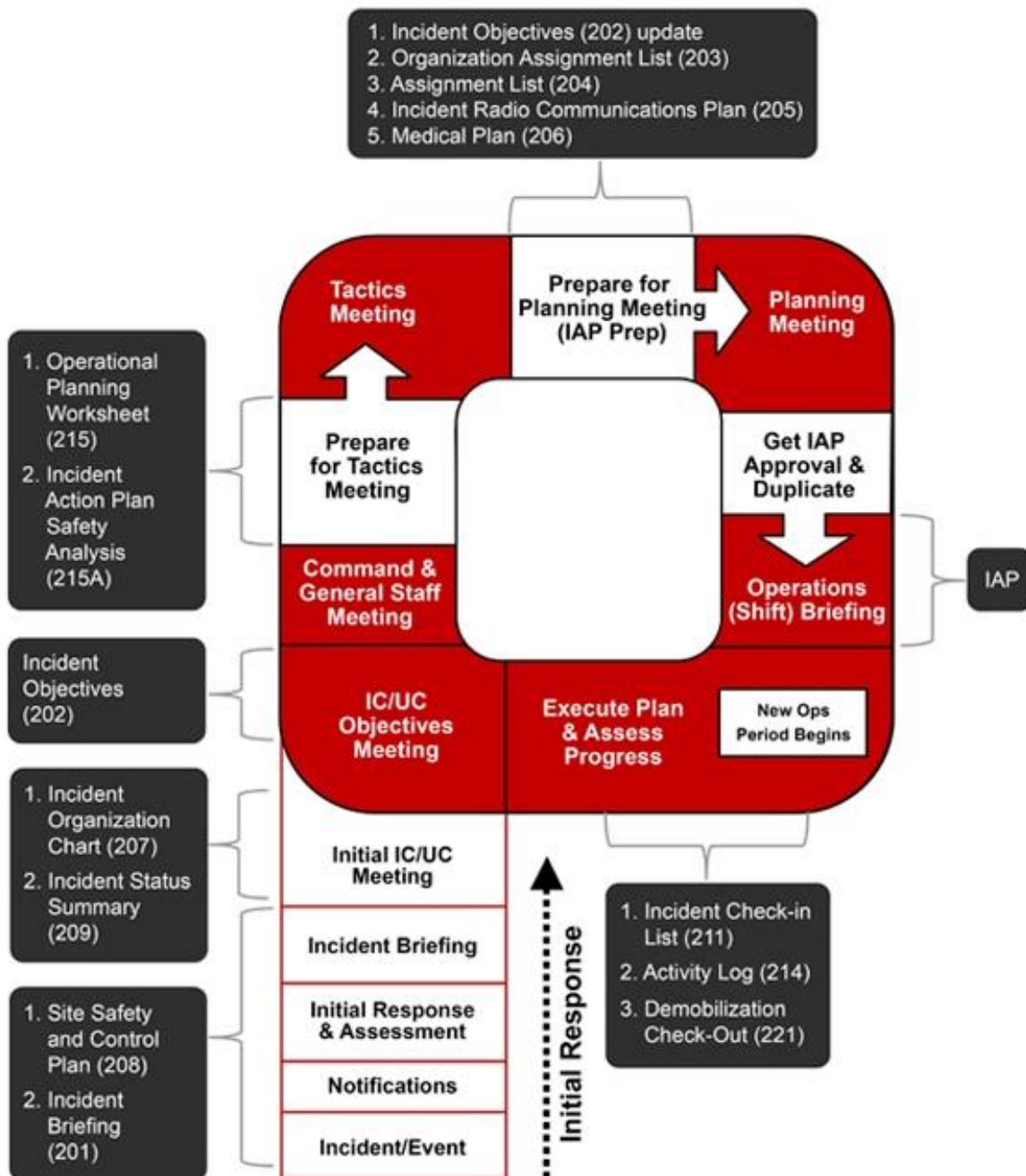
The fourth phase involves preparing the plan in a format that is appropriate for the level of complexity of the event. For smaller incidents, verbal understanding and dissemination may be appropriate. Key components should be written down, preferably on an ICS-201 Form. For larger incidents or incidents that will span over a single operational period, a full, formal written IAP should be completed and distributed to the appropriate personnel.

### Fifth Phase



The fifth phase should be the implementation and accessing the accomplishments of the goals with actual progress. The planning process should be a continual procedure until the event is completed. All phases should constantly evaluate the procedures required to a successful completion.

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### **Joint County Plans (Guidance TBD)**

Under current KRS's, Counties of two (2) or more may jointly create a single unified local emergency management agency.

KRS 39B.010 (eff. 15 July 2015)

KRS 39B.020 (eff. 15 July 2015)

KRS 39B.030 (eff. 15 July 2015)

KRS 39B.050 (eff. 15 July 2015)

KRS 39B.060 (eff. 15 July 2015)

All reference the Joint County Emergency Management Laws. Refer to these statutes for further information.

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